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## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application Number	09/921,797
Filing Date	August 2, 2001
First Named Inventor	Jonathan Lamb et al.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	SEMT-025

Total Number of Pages in This Submission

5

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### ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Reply

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/ Incomplete Application

☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition

☐ Petition to Convert to a Provisional Application

☐ Power of Attorney, Revocation Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s) \_\_\_\_\_

☐ After Allowance Communication to Group

☐ Appeal Communication to Board of Appeals and Interferences

☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☐ Other Enclosure(s) (please identify below):

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Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name

David B. Ritchie, Reg. No. 31,562  
Thelen Reid & Priest LLP

Signature

Date

11-10-2003

### CERTIFICATE OF MAILING

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

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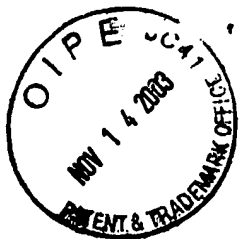
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Date

11/12/03

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICANT: Jonathan Lamb et al.

SERIAL NO.: 09/921,797

FILING DATE: August 2, 2001

TITLE: A Phase Detector and Signal Locking System Controller

EXAMINER: Unassigned

ART UNIT: Unassigned

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11/12/03

Name:

Beatrice Orozco

COMMISSIONER FOR PATENTS  
P.O. Box 1450, ALEXANDRIA, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT**

Each item of information listed in the attached FORM PTO-1449, for which a copy of each is attached, may be material to the examination of the above-identified application and is, therefore, submitted in compliance with the duty of disclosure defined in 37 CFR §§ 1.56, 1.97 and 1.98. The Examiner is requested to make these items of official record in this application.

This Information Disclosure Statement under 37 CFR §§ 1.56, 1.97 and 1.98 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that any one or more of these items constitutes prior art.

I

This statement is filed pursuant to:

( X ) 37 C.F.R. § 1.97(b).

This information disclosure statement is filed either (1) within three months of the filing date of a national application other than a continued prosecution application under §1.53(d); (2) within three months of the date of entry of the national stage as set forth in 37 C.F.R. § 1.491 in an international application; (3) before the mailing date of a first office action on the merits, or (4) before the mailing of a first office action after the filing of a Request for Continued Examination under 37 C.F.R. § 1.114, whichever event occurs last.

Accordingly, this information disclosure statement requires no fee and no certification.

( ) 37 C.F.R. § 1.97(c).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (b), but before the mailing date of either (1) a final action under 37 C.F.R. § 1.113; (2) a notice of allowance under 37 C.F.R. § 1.311; or (3) an action that otherwise closes prosecution in the application.

Accordingly, this information disclosure statement requires either the fee specified in 37 C.F.R. § 1.17 (p) for submission of an information disclosure statement under 37 C.F.R. § 1.97 (c) (\$180); or a certification according to 37 C.F.R. § 1.97 (e).

( ) 37 C.F.R. § 1.97(d).

This information disclosure statement is filed after the period specified in 37 C.F.R. § 1.97 (c).

Accordingly, this information disclosure statement requires the fee specified in 37 C.F.R. § 1.17 (p) to consider an information disclosure statement under 37 C.F.R. § 1.97(d) (\$180), and a certification according to 37 C.F.R. § 1.97(e).

If this statement crosses in the mail with an office action, or is otherwise not in the indicated category of 37 C.F.R. § 1.97, it is respectfully requested that this statement be treated in the next appropriate category and made of record. To the extent required, please treat this paper as a conditional petition for acceptance of the information disclosure statement.

## II

- ( X ) No fee is due.
- ( ) The fee specified in 37 C.F.R. § 1.17(p) for submission of an information disclosure statement under 37 C.F.R. § 1.97(c) is enclosed (\$180).

Please charge any additional required fee or credit any overpayment to our deposit account number 50-1698. An additional copy of this page is enclosed.

## III

Pursuant to 37 C.F.R. § 1.97(e) , I certify:

- ( X ) No certification is necessary.
- ( ) (1) Each item of information contained in the information disclosure statement was first cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information statement; or
- ( ) (2) No item of information contained in the information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application, or, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c), more than three months prior to the filing of the statement.

Respectfully submitted,  
THELEN REID & PRIEST LLP



David B. Ritchie  
Reg. No. 31,562

Dated: November 10, 2003

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Form PTO 1449 (Rev. 2-32) U.S. Department of Commerce Patent and Trademark Office				Atty. Docket No. SEMT-025		Serial No.: 09/921,797		
Information Disclosure Statement by Applicant				Applicant: Jonathan Lamb et al.				
(Use several sheets if necessary)				Filed: August 2, 2001		Group: Unassigned		
U.S. Patent Documents								
Init.		Document No.	Date	Name	Class	Subclass	Filing Date	
	A	4,819,081	4/4/1989	Volk et al.	328	134	9/3/1987	
	B	5,159,292	10/27/1992	Canfield et al.	331	1	2/25/1992	
	C	5,883,533	3/16/1999	Matsuda et al.	327	156	9/26/1996	
	D	5,905,388	5/18/1999	Van Der Valk et al.	327	107	1/8/1996	
	E	5,970,110	10/19/1999	Li	377	48	1/9/1998	
	F	6,121,816	9/19/2000	Tonks et al.	327	296	4/23/1999	
	G	6,198,355	3/6/2001	Lindquist et al.	331	27	3/12/1999	
	H	6,304,116	10/16/2001	Yoon et al.	327	158	1/18/2000	
	I	6,323,692	11/27/2001	Tsinker	327	12	5/19/2000	
	J	6,429,707	8/6/2002	Lamb et al.	327	159	7/19/2001	
	K	6,483,389	11/19/2002	Lamb	331	25	7/19/2001	
Foreign Documents								
							Translation	
Init.		Document No.	Date	Country	Class	Subclass	Yes	No
Other Documents (Including Author, Title, Date, Pertinent Pages, etc.)								
Examiner					Date Considered			
Examiner: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include a copy of this form with the next communication to applicant.								